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PTO/SB/05 (2/98)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.

1744.0450002

First Inventor or Application Identifier

David F. SORRELLS

Title

Spread Spectrum Applications of Universal Frequency Translation

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 146]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawings (35 U.S.C. 113) [Total Sheets 191]
4. ☐ Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity Statement(s) (PTO/SB-09-12) ☐ Statement filed in prior application, Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other: 37 C.F.R. § 1.136(a)(3) Authorization
☐ Other:
*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: ____/____

Prior application information: Examiner _____ Group/Art Unit: _____

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
	Attorneys at Law				
ADDRESS	Suite 600, 1100 New York Avenue, N.W.				
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COUNTRY	USA	TELEPHONE	(202) 371-2600	FAX	(202) 371-2540

NAME (Print/Type)	Patrick E. Garrett	Registration No. (Attorney/Agent)	39,987
SIGNATURE		Date	3/14/00

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

JC644 U.S. PTO



03/14/00

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**REGISTERED PATENT AGENTS

March 14, 2000

WRITER'S DIRECT NUMBER:
(202) 371-2587

INTERNET ADDRESS:
PGARRETT@SKGF.COM

Assistant Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: March 14, 2000
For: **Spread Spectrum Applications of Universal Frequency Translation**
Inventors: David F. Sorrells, Michael J. Bultman, Charles C. Clements,
Robert W. Cook, Joseph M. Hamilla, Richard C. Looke,
Charley D. Moses, Jr., Gregory S. Rawlins, Michael W. Rawlins
and Gregory S. Silver
Our Ref: 1744.0450002

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
2. U.S. Utility Patent Application entitled:

Spread Spectrum Applications of Universal Frequency Translation

and naming as inventors:

**David F. Sorrells, Michael J. Bultman, Charles C. Clements,
Robert W. Cook, Joseph M. Hamilla, Richard C. Looke,
Charley D. Moses, Jr., Gregory S. Rawlins, Michael W. Rawlins
and Gregory S. Silver**

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Assistant Commissioner for Patents

March 14, 2000

Page 2

the application consisting of:

- a. A specification containing:
 - i. 141 pages of description prior to the claims;
 - ii. 4 pages of claims (16 claims);
 - iii. a one (1) page abstract;
 - b. One-hundred and ninety-one (191) sheets of drawings: (Figures 1A-D, 2A, 2B, 3-14, 15A-F, 16-19, 20A, 20A-1, 20B-F, 21, 22A-F, 23A-F, 24A-K, 25A-J, 26A-F, 27, 28A-J, 29, 30, 31A, 31B, 32, 33A, 33B, 34A-D, 35A-J, 36A, 36B, 37, 38A-C, 39A, 39B, 40, 41, 42A, 42B, 43A, 43B, 44, 45A-F, 46-59, 60A-Z, 61A, 61B, 62A, 62B, 63A-D, 64A-D, 65, 66A-C, 67-70, 71A, 71B, 72A, 72B, 73A-E, 74A, 74B, 75-77, 78A, 78B, 79-80, 81A-D, 82A-E, 83-84, 85A-C, 86, 87A, 87B, 88A-C, 89-95, 96A-C, 97-99, 100A-F, 101-104, 105A, 105B, 106A, 106B, and 107A-F);
3. PTO Fee Transmittal Form PTO/SB/17 (in duplicate);
 4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3)(in duplicate);
 5. Our check No. 26923 for \$690.00 to cover:

\$ 690.00 filing fee for patent application; and
 6. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Assistant Commissioner for Patents
March 14, 2000
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Patrick E. Garrett
Attorney for Applicants
Registration No. 39,987

0450002.pto

0450002.pto

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sorrells *et al.*

Appl. No. To be assigned

Filed: March 14, 2000

For: **Spread Spectrum Applications of
Universal Frequency Translation**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1744.0450002



**Authorization To Treat A Reply As Incorporating An Extension Of Time
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Patrick E. Garrett

Attorney for Applicants

Registration No. 39,987

Date: 3/14/00
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Washington, D.C. 20005-3934
(202) 371-2600

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FEE TRANSMITTAL for FY 2000 <i>Patent fees are subject to annual revision.</i> <i>Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</i> <i>See 37 C.F.R. §§ 1.27 and 1.28.</i>		Complete if Known	
TOTAL AMOUNT OF PAYMENT		Application Number	
(\$690.00)		To be assigned	
		Filing Date	
		March 14, 2000	
		First Named Inventor	
		David F. Sorrells	
		Examiner Name	
		To be assigned	
		Group / Art Unit	
		To be assigned	
		Attorney Docket Number	
		1744.0450002	

METHOD OF PAYMENT (check one) 1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: <div style="border: 1px solid black; padding: 2px; margin: 5px 0;"> Deposit Account Number: 19-0036 Deposit Account Name: Sterne, Kessler, Goldstein & Fox P.L.L.C. </div> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* <small>*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036. Check No. <u>26923</u></small> FEE CALCULATION 1. BASIC FILING FEE <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>690</td> <td>201</td> <td>345</td> <td>Utility filing fee</td> <td><u>690.00</u></td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>690</td> <td>208</td> <td>334</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (1) (\$)</td> <td>690.00</td> </tr> </tbody> </table> 2. EXTRA CLAIM FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Extra</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims <u>16</u> - 20** = <u>0</u></td> <td></td> <td>X <u>18.00</u></td> <td>= <u>0.00</u></td> </tr> <tr> <td>Indep. Claims <u>3</u> - 3** = <u>0</u></td> <td></td> <td>X <u>78.00</u></td> <td>= <u>0.00</u></td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>=</td> </tr> </tbody> </table> <small>** or number previously paid, if greater; For Reissues, see below</small> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>104</td> <td>260</td> <td>204</td> <td>130</td> <td>Multiple dependent claim</td> </tr> <tr> <td>108</td> <td>78</td> <td>209</td> <td>39</td> <td>**Reissue independent claims over original patent</td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (2) (\$)</td> <td>0.00</td> </tr> </tbody> </table>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	690	201	345	Utility filing fee	<u>690.00</u>	106	310	206	155	Design filing fee		107	480	207	240	Plant filing fee		108	690	208	334	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1) (\$)					690.00		Extra	Fee from below	Fee Paid	Total Claims <u>16</u> - 20** = <u>0</u>		X <u>18.00</u>	= <u>0.00</u>	Indep. 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unavoidable</td> <td></td> </tr> <tr> <td>141</td> <td>1,210</td> <td>241</td> <td>605</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142</td> <td>1,210</td> <td>242</td> <td>605</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143</td> <td>430</td> <td>243</td> <td>215</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144</td> <td>580</td> <td>244</td> <td>290</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122</td> <td>130</td> <td>122</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123</td> <td>50</td> <td>123</td> <td>50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126</td> <td>240</td> <td>126</td> <td>240</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581</td> <td>40</td> <td>581</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146</td> <td>760</td> <td>246</td> <td>380</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149</td> <td>760</td> <td>249</td> <td>380</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> </tbody> </table> Other fee (specify) : Other fee (specify) : *Reduced by Basic Filing Fee Paid <div style="text-align: right;">SUBTOTAL (3) (\$) 0</div>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))		149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
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102	78	202	39	Independent claims in excess of 3																																																																																																																																																																																																																																																													
104	260	204	130	Multiple dependent claim																																																																																																																																																																																																																																																													
108	78	209	39	**Reissue independent claims over original patent																																																																																																																																																																																																																																																													
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																																													
SUBTOTAL (2) (\$)					0.00																																																																																																																																																																																																																																																												
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																												
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																																																													
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																																																																													
139	130	139	130	Non-English specification																																																																																																																																																																																																																																																													
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																																																																																													
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																																													
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																													
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																																																																													
116	380	216	190	Extension for reply within second month																																																																																																																																																																																																																																																													
117	870	217	435	Extension for reply within third month																																																																																																																																																																																																																																																													
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																																																																																													
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																																																																																													
119	300	219	150	Notice of Appeal																																																																																																																																																																																																																																																													
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																																																																																													
121	260	221	130	Request for oral hearing																																																																																																																																																																																																																																																													
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																													
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																																																																																													
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																																																																																													
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																																																																																													
143	430	243	215	Design issue fee																																																																																																																																																																																																																																																													
144	580	244	290	Plant issue fee																																																																																																																																																																																																																																																													
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																																																													
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																																																																													
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																													
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																																													
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																																																													
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																																																																													

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Patrick S. Garrett			Reg. Number	39,987
Signature				Deposit Acct. User ID	19-0036
	Date	3/14/00			

WARNING:
Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.